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INTERNATIONAL CITY MANAGERS' ASSOCIATION
1313 EAST 60TH STREET - CHICAGO 37, ILLINOIS

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ESTABLISHING JOB AND WORK CONTROLS

How can management set up procedures for reviewing the filling of jobs and control the performance of work?

Management must establish controls that allow a proposed departmental action to be reviewed and approved at the top level. By means of such controls the chief administrator can appraise the wisdom of a department's proposal and keep a close check on city operations. Two important phases of city administration requiring careful supervision are the filling of jobs and the performance of services and construction work. Management should have the opportunity to review and approve departmental action on these two phases before a commitment is made. But the controls should be established so that the process of review is speeded up to prevent the chief administrator's office from becoming a bottleneck.

In some cases the formalized review procedures will enable assistants to ascertain whether certain departmental requests covering personnel and the performance of work are in accord with municipal policy and thus save some of the administrator's time. The small or medium-sized city can establish review procedures that may be quite informal, perhaps without the use of any specialized forms. In a larger city a heavy volume of management decisions must be made and perhaps somewhat mechanically. The chief administrator cannot rely solely on his own resources. He must have a staff to assist him in carrying out his responsibilities. The review procedures should be outlined in administrative regulations and supplemented by well-designed forms that guide the preparation of the essential information.

Personnel Controls. Personal services represent the most important cost element in municipal government. One superfluous employee receiving a salary of \$200 per month will cause \$24,000 of unnecessary expenditure in a 10-year period. No administrator would allow the expenditure of \$24,000 for an item of equipment without being sure that it is very much needed. In like fashion the need for new employees or for replacements should be scrutinized whenever employment authorizations are requested as well as during the preparation of the annual budget. Personnel quotas set by the original budget should not be exceeded and current work loads must justify the personnel quota.

A personnel vacancy can often open the way for a change in procedures or operating methods that may do away with the position. If an investigation shows that the job should be filled, sometimes an employee may be transferred from another assignment where work loads have dropped or new working procedures justify fewer people. Any requests for additional personnel also should be reviewed from the standpoint of correctness of position-classification. Why hire someone for a position requiring higher skills and paying more salary than the job really calls for? Or to go further, it may be possible to revise the work assignments so that a less skilled employee can satisfactorily perform the work.

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Requisitions for Personnel. Before any job is to be filled or a new employee added, the department head and other supervisors should be required to investigate the work to be done and question the need for the position. When the department head has completed this investigation, he may be required to fill out and send to the budget officer a "Personnel Requisition" form which should be accompanied by full supporting data justifying the filling of the position (see Form 1). Only "Section A" of the form is filled out by the department requesting personnel. The form is sent first to the budget officer who verifies the need for filling the position and also checks to see that the personnel quotas established by the budget are not exceeded. The city charter or the annual budget sometimes places limits on the number of employees for each of the city departments. The charter of one city, for example, requires that: "A schedule of the maximum number of employees in each class shall be prepared for each department by the head of the department subject to the approval of the city manager. Any such schedule may be amended or a new schedule prepared by the head of the department subject to such approval."

The personnel schedules included in the annual budget specify the maximum number of employees in each class as provided in such a charter provision. If a department's personnel requirements are subsequently changed, a revised schedule must be submitted to the budget officer or finance officer whose comments and recommendations upon the revised schedule are given to the city manager for final approval. Thus when requests for personnel are received, the budget officer should not only check the personnel schedules set forth in the budget but he should also determine whether the position really needs to be filled in the first place.

Once the budget officer concludes that the job should be filled, he sends the forms to the personnel department which certifies the candidates eligible for personal interview once it decides on the type of position involved and the eligibility register to be used. For some positions, for example, laborers, hospital attendants, nurses, etc., the turnover is so high or the employment so seasonable that individual justification is unnecessary every time an employee must be hired. Personnel quotas for such positions are agreed upon by the line department and the budget officer, taking into account the department's work program and the expected work loads. A personnel requisition can then be approved by the budget officer simply on the basis of the department's statement that the request agrees with the established quotas. To help the personnel officer evaluate the type of job to be filled, the department briefly describes the duties, responsibilities and degree of supervision to be given the job on the personnel requisition form. From this information the personnel officer can determine the nature of the position and the qualifications needed by the individuals to do the work.

If an additional employee is requested (see item 15 on Form 1) a detailed memo showing the work load and other data must be attached. The purchasing agent, for example, may request an additional secretary-stenographer and supply justifications. In an actual case the purchasing agent gave the following reasons: a personal secretary in the same office with the purchasing agent would expedite work by eliminating long-winded, off-color stories which salesmen tell and which kill the time of the purchasing agent. A secretary in the same office with the purchasing agent could take dictation, accept phone calls from information seekers without the need of bothering the girl in the outer office; the purchasing agent was head of a state purchasing agents' group which made demands on his time; and the buyer utilized almost the full time of the present secretary-stenographer making it necessary for the purchasing agent to perform many details which could be turned over to a well-trained secretary.

When the request reached the budget officer, he made an investigation to verify the need for the extra employee. His first step was to list the duties of the director of purchases, one buyer, and one secretary-stenographer and also the duties proposed for the new employee. The budget officer then made two charts, one showing the number of purchase orders issued per month during the past seven years as related to the number of employees, the other showing the trend in the work load per employee during this period expressed as percentages of 1939-40 average. These two charts showed that the greatest periods of purchasing activity were in 1941 and 1942 when there were only two employees in the department. When a third employee had been engaged in 1946, the charts reflected a drop in the work load per employee, as indicated by the number of purchase orders issued. On the other hand, shortages of materials and unstable prices increased the clerical work in handling memos for cancellation, additions, over-shipments, and price changes. Also, the taking over of all purchases for the public library increased the work by about 10 per cent. As a partial offset, however, the budget officer suggested that if departmental acquisition of supplies from the warehouse were simplified, the result would be to save approximately eight per cent of the clerical work of one employee. All these facts were set forth in a three-page report submitted to the city manager, recommending that the addition of another employee in the purchasing department was not warranted.

Work Order Controls. Careful planning and scheduling is required to perform any operation efficiently, particularly so in the performance of public works functions and the various construction activities. Scheduling such activities involves determining the order of construction for a series of individual jobs and estimating the quantities of labor, material, and equipment required on each job. Each work order should contain a brief description of the job to be accomplished, the method of performance, date to be started and to be completed, and an estimate of cost showing the labor, materials, and equipment required. The work order form will authorize the project, establish project cost ledgers, control and report on work in process, and charge final costs to the correct appropriation account. All important work orders should be submitted for management approval to insure substantial conformance to the budget work program. A work order procedure once established encourages efficient scheduling by the departments and helps anticipate needs for personnel, materials, and equipment. The approval of work orders, progress reports, and work completion notices keep the chief administrator and city council abreast of the work in process.

A work order form may be quite simple, but the larger cities may require several specialized forms to meet a variety of conditions. The project request form (page 223, MIS Report No. 55) is a type of work order form authorizing the inclusion of a construction job in the annual work program, and allowing the preparation of plans as well as authorizing construction. Simpler projects, and also jobs of an emergency nature that occur as part of a month's or week's work program, could be authorized by a general work order. Form 2 illustrates a sample work order form that might be used in many cities when a job is being done for private individuals for which a charge may or may not be made. The form could authorize the work, account for costs, and serve as the accounts receivable and cash paid record. Also, it could be used to report job costs for particular activities that management wants to study more intensively.

The front side of Form 2 contains a description of the work to be done, an estimate of cost, who requested the work, whether a charge is to be made, and an authorization to proceed with the work. This form can be made out in duplicate, the back side of the first copy reporting costs as recorded by the finance office from payrolls, vouchers, equipment rental slips, and other accounting records.

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The back side of the second copy is used by the foreman to report the work actually done, the materials moved, labor and equipment used, and the materials put in place. Or, only one copy need be made with the back side consisting half-and-half of the finance office's and the foreman's reports.

Section A of the form may be filled out by the city manager, public works director, or their assistants. Sections B, C, and D, would be completed by someone in a supervisory or engineering position in the public works department. Section B shows the job number and the classification of the work, Section C the estimate of cost, and Section D when the work is to be done, the urgency of the work, the engineer and foreman in charge of the job. Section E-1 indicates whether a charge is to be made for the work as indicated by the public works department according to the established rules for charges and types of jobs for which a charge is made. If there is a charge, then the signature of the party requesting the work should be obtained and Section E-2 is completed according to the local accounting and bill-payment procedures in each city.

The suggestion is made here that a deposit be made for at least half the cost before the work begins. The city manager and the public works director might approve the job order as to intent, plans, timing, and estimated costs before the deposit is made, with their approval contingent on payment of the deposit. The work would not start until the finance office notified the public works department that the deposit is paid. As soon as the job is authorized, the first copy is sent to the finance office to record the costs on the reverse side of the finance office copy. The cost information would come through the regular accounting channels. The second copy returns to the public works department to be used by the foreman.

The foreman uses the form as well as the attached work instructions, maps, and plans as a guide on how the job should be done. He reports the labor and the equipment that he used, the work actually done, the materials removed or put in place. Before the job is completed, the engineer is asked to approve the work. The form is then turned over to the public works office to check the foreman's entries and then is forwarded to the finance office to be attached to the other copy. Costs are recorded in detail on the finance copy and summarized on both in Section F.

Both copies are then turned over to the public works director and the city manager to compare actual costs with estimates before a bill is sent out to the private individual. Even if the job is a public one, both officials may want an explanation for any excess of actual costs over the estimates. This explanation would be given in Section G, and would probably be written by the public works department. Once the authority is given to send out the bill, both copies return to the finance office for the mailing of the bill and final payment, and then both copies are sent to the public works department.

Form 1

City of _____

Personnel Requisition and Certification
(See instructions on reverse side)

SECTION A — REQUISITION FOR EMPLOYEE

1. NO.	2. DATE	3. ACCOUNT CODIFICATION	4. DEPARTMENT	DIVISION	SECTION
5. SUGGESTED POSITION TITLE		6. NUMBER REQ'D	7. SEX	8. SUGGESTED PAY RATE	
9. IF REPLACEMENT PERSONNEL, GIVE INFORMATION ABOUT PREVIOUS INCUMBENT			10. NEW EMPLOYEE SHOULD BEGIN WORK: NAME POSITION HELD DATE TERMINATION DATE NUMBER DAYS PER WEEK		
11. DURATION OF EMPLOYMENT <input type="checkbox"/> PERMANENT <input type="checkbox"/> PROVISIONAL <input type="checkbox"/> LIMITED TERM PERIOD _____ TO _____ <input type="checkbox"/> PART TIME (EXPLAIN WORK SCHEDULE IN SECTION 14)		12. PREFERRED METHOD OF FILLING VACANCY <input type="checkbox"/> ORIGINAL APPOINTMENT <input type="checkbox"/> PROMOTION <input type="checkbox"/> DEMOTION <input type="checkbox"/> TRANSFER <input type="checkbox"/> OTHER (EXPLAIN)		13. BUDGET STATUS (A) POSITION TITLE (BLOCK 5 ONLY) (1) QUOTA (CURRENT BUDGET) _____ (2) NUMBER NOW ON PAY ROLL _____ (3) NUMBER OVER OR UNDER _____ (B) TOTAL PERSONNEL QUOTA (ALL POSITION TITLES) (1) QUOTA (CURRENT BUDGET) _____ (2) NUMBER NOW ON PAY ROLL _____ (3) NUMBER OVER OR UNDER _____	
14. DESCRIBE BELOW THE NATURE OF THE POSITION TO BE FILLED. STATE DEFINITELY ALL THE DIFFERENT DUTIES AND THE RESPONSIBILITIES OF THE POSITION; GIVE SUFFICIENT DETAIL SO THAT THE DEGREE OF DIFFICULTY OF EACH DUTY AND THE DEGREE OF RESPONSIBILITY ARE APPARENT. ALSO LIST EQUIPMENT TO BE OPERATED. (IF MORE SPACE IS NEEDED, PLEASE USE ADDITIONAL SHEETS.)					
15. IF ADDITIONAL STAFF IS REQUESTED, ATTACH A COMPLETE MEMORANDUM JUSTIFYING THE REQUEST IN TERMS OF THE WORK LOAD AND GIVING OTHER PERTINENT FACTS.					
16. SIGNATURE: DIVISION HEAD		DATE	17. SIGNATURE: DEPARTMENT HEAD		DATE
			18. BUDGET APPROVAL		DATE

(PERSONNEL DEPARTMENT ONLY)			SECTION B — ALLOCATION		
19. ALLOCATION — CLASS TITLE			20. APPROVED RATE OF PAY		
21. METHOD OF FILLING VACANCY			22. ELIGIBLE REGISTER	23. APPROVAL: PERSONNEL DIRECTOR	
				DATE	

(PERSONNEL DEPARTMENT ONLY)				SECTION C — CERTIFICATION	
24. THE FOLLOWING PERSONS ARE CERTIFIED AS REQUESTED ABOVE: (A) DATE (B) ELIGIBLE REGISTER TO BE USED				25. THE APPOINTING AUTHORITY SHALL REPORT THE RESULTS OF THE INTERVIEW WITH EACH PERSON BELOW:	
(C) POSITION ON LIST OR RATING		(D) NAME, ADDRESS, TELEPHONE NUMBER, STARTING SALARY		(A) SIGNATURE OF PROVISIONAL APPOINTEE (GIVE REASON IN EACH CASE FOR FAILURE TO APPOINT)	(B) DATE TO START WORK

26. SIGNATURE: DIVISION HEAD		DATE	27. SIGNATURE: DEPARTMENT HEAD		
28. FINGERPRINTS TAKEN:	29. APPOINTMENTS NOTED:	30. SERVICE REGISTER:	31. ADDRESSOGRAPH:	32. FILED:	

SECTION D — TRANSFER

33. DEPT. DIV. SECT.	34. NAME, ADDRESS, PRE-TRANSFER TITLE	35. SIGNATURE OF PERSON TRANSFERRED	DATE
36. SIGNATURE OF PRE-TRANSFER DIVISION HEAD		37. SIGNATURE OF PRE-TRANSFER DEPARTMENT HEAD	DATE
38. SIGNATURE OF DIVISION HEAD		39. SIGNATURE OF DEPARTMENT HEAD	DATE

SECTION E — INSTRUCTIONS

I. TO REQUEST CERTIFICATION

Completely fill in Section A — original and three (3) carbons. (See Section II — PROCEDURE below)

IMPORTANT

- (1) To avoid delays, be sure that all information required by Section A is shown completely and accurately.
- (2) All eligibles certified should be interviewed.
- (3) If a veteran is certified, consult the special regulations before making the appointment.
- (4) Where no eligible register exists for the class of position described on the opposite side, authorization is given to make provisional appointment from among the candidates listed. In signing this document, you certify that you have read to the provisional appointee, or have required him to read, the following paragraph:
 "Provisional appointments are terminated upon subsequent establishment of an eligible register."
 A provisional appointee must indicate acceptance by signing in 25 (A) and must indicate a willingness to take the examination when it is given.
- (5) If additional staff is requested, attach a complete memorandum with this request showing the need for these employees in terms of the work load. Also give any other pertinent information necessary to provide complete data for evaluating the need.

II. PROCEDURE

1. APPROVAL

On regular requests, prepare original and three (3) carbons; on transfers, prepare original and four (4) carbons. Send all forms except the third (3rd) carbon to the Department of Research and Budget. Retain the third (3rd) carbon (on transfers, the fourth (4th) carbon) pending certification.

2. CERTIFICATION

The Personnel Department will certify the required number of persons by filling in Section C, Item 24, (A) through (D), inclusive. The original and first (1st) carbon will be sent to the appointing authority. The second (2nd) and third (3rd) carbons will be retained by the Personnel Department.

3. RESULTS OF CERTIFICATION

The appointing authority will fill in the results of the interview with each person who reported in Section A, Item 25, (A) and (B), on both original and first (1st) carbon. Under Item 25 (A), "Reasons Not Appointed," record what happened to each person who reported. Under Item 25 (B), "Date To Start Work," record the date upon which you and the appointee have agreed. Send both the original and the first (1st) carbon to the Personnel Department. One completed copy will be returned to the department.

4. RETURN OF CERTIFICATION

Certification must be returned immediately after the appointment is made or the interviews are completed.

5. FINGERPRINTS

Send person selected for appointment to the Personnel Department with "Notice To Fingerprint"

6. FINAL DISPOSITION OF COPIES

- a. Appointing Authority
File first (1st) carbon; discard third (3rd) carbon (in case of transfers, fourth (4th) carbon).
- b. Personnel Department
File original and use second (2nd) carbon as a working copy.

Form 2

City of _____

Work Order

A Department: _____

Division: _____

Work to be done: _____

Location: _____

Who requests work: _____

(If Council requests work, give Resolution No. _____)

B
No. _____Classification
of Work:

Repair _____

Betterm't _____

New Const. _____

C Estimate of Cost:

Labor \$ _____

Materials \$ _____

Equipment \$ _____

Overhead \$ _____

Total \$ _____

F Actual Cost of Job:

Labor \$ _____

Materials \$ _____

Equipment \$ _____

Overhead \$ _____

Total \$ _____

(Details of Cost on other side)

G Reason for Excess
(If actual cost exceeds
estimate by more than

_____% , explain)

D When work to be done: _____

Date work started _____

Will work interrupt schedule? _____

Date work completed _____

Is work urgent? _____

Engineer in charge_____
Name of person in charge of work(If detailed work instructions, maps, design plans, and blueprints are required for work,
attach to work order when submitted for approval.)

E Charge for work? _____

Signature of party requesting workNote: City makes careful estimates but
actual costs may be higher. Half
the cost must be paid before work
begins.

E Deposit paid _____ Acct. No. _____

Date billed _____ Fin. OK _____

Date paid _____

(Rules and regulations governing charges for
work authorized by Council Resolution No. _____,
and are found in Administrative Regulation
No. _____, as amended.)

Authority to begin work

(Department head)_____
(City Manager)

Authority to send bill

(Department head)_____
(City Manager)

Reverse side of Finance Office Copy

<u>Details of Cost of Work Done</u>				Order No. _____
<u>Labor:</u>				
<u>Name</u>	<u>Rate</u>	<u>Time</u>	<u>Total</u>	

<u>Equipment:</u>				
<u>Items</u>	<u>Rate</u>	<u>Time</u>	<u>Total</u>	

<u>Materials:</u>				
<u>Items</u>	<u>Cost per</u>	<u>Amount</u>	<u>Total</u>	

<u>Overhead costs:</u>				

Reverse side of Foreman's Copy

<u>Report on Work Done</u>			Order No. _____
Describe Work Done: _____			

Number of men used: _____			
Trucks used: _____			
Equipment hired: _____			
Materials removed:			
<u>Item</u>	<u>Quantity</u>	<u>Where dumped</u>	

Materials placed:			
<u>Item</u>	<u>Quantity</u>		

Weather conditions on job: _____			
Other remarks: _____			

Be sure job number is marked on payroll sheets, material requisition slips, truck rental forms, and all vouchers to private companies.			
Have engineer in charge of work OK job before finishing.			
Turn this form in to _____			